

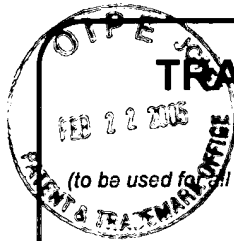
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RPTO/SB/21 (CS-CO)

Approved for use through 10/31/2002. CMB 0851-0031

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

| | | | |
|--|----------------------|------------------------|-----------------|
| Application Number | 10/650,360 | | |
| | Filing Date | August 27, 2003 | |
| | First Named Inventor | Leung, A. | |
| | Group Art Unit | 2188 | |
| | Examiner Name | Padmanabhan, Mano | |
| Total Number of Pages in This Submission | 7 | Attorney Docket Number | 021154-000810US |

| ENCLOSURES (check all that apply) | | |
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| <input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): 1) Return receipt postcard 2) PTO/SB/08A and PTO/SB/08B forms 3) Fourteen (14) references |
| Remarks The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430. Total number of pages <u>does not</u> include cited references. | | |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | | |
|--|---|--|
| Firm and Individual name | Townsend and Townsend and Crew LLP Sujit B. Kotwal | |
| Signature | S. B. Kotwal | |
| Date | February 15, 2005 | |

| CERTIFICATE OF MAILING | | | |
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| Typed or printed name | Christopher R. Fitting | | |
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PATENT
Attorney Docket No.: 021154-000810US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

ALBERT LEUNG et al.

Application No.: 10/650,360

Filed: August 27, 2003

For: OPTIMIZING STORAGE
CAPACITY UTILIZATION BASED
UPON DATA STORAGE COSTS

Examiner: Padmanabhan, Mano

Art Unit: 2188

SUPPLEMENTAL INFORMATION
DISCLOSURE STATEMENT UNDER 37
CFR §1.97 and §1.98

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The references cited on the attached PTO/SB/08A and PTO/SB/08B forms are being called to the attention of the Examiner. Copies of the non U.S. Patent references are enclosed. It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information, and no inference should be made that the information and references cited are, or are considered to be material to patentability because they are in this statement. No inference should be made that the information and references cited are prior art merely because they are in this statement.

Applicant believes that no fee is required for submission of this statement.

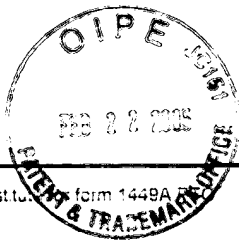
However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

S. B. Kotwal

Sujit B. Kotwal
Reg. No. 43,336

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SBK:crf
60419762 v1



P.O. BOX 1418, BOSTON, MA 02111-1418

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| Substitution form 1449A INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | Complete if Known | | |
| | | | Application Number | 10/650,360 | |
| | | | Filing Date | August 27, 2003 | |
| | | | First Named Inventor | Leung, Albert | |
| | | | Art Unit | 2188 | |
| | | | Examiner Name | Padmanabhan, Mano | |
| | | | Attorney Docket Number | 021154-000810US | |
| Sheet | 1 | of | 3 | | |

| U.S. PATENT DOCUMENTS+ | | | | | |
|------------------------|-------------|--|--------------------------------|--|---|
| Examiner Initials | Cite No. | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number Kind Code ² (if known) | | | |
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| | AB | US-6,584,497 | 06-24-2003 | Case et al. | |
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| | AY | US-2002/0138251 | 09-26-2002 | Geary | |
| | AZ | US-2001/0034795 | 10-25-2001 | Moulton et al. | |
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| | | | Application Number | 10/650,360 |
| | | | Filing Date | August 27, 2003 |
| | | | First Named Inventor | Leung, Albert |
| | | | Art Unit | 2188 |
| Examiner Name | Padmanabhan, Mano | | | |
| Sheet 2 of 3 | Attorney Docket Number | | 021154-000810US | |

| FOREIGN PATENT DOCUMENTS | | | | | | | | |
|--------------------------|-----------------------|---------------------------|---------------------|---------------------------------|-----------------------------|---|---|--------------------------|
| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ² |
| | | Country Code ³ | Number ⁴ | Kind Code ⁵ (if any) | | | | |
| | BA | WO | 05/001646 | | 01-06-2005 | | | <input type="checkbox"/> |
| | BB | WO | 04/109663 | | 12-16-2004 | | | <input type="checkbox"/> |
| | BC | WO | 04/109556 | | 12-16-2004 | | | <input type="checkbox"/> |
| | BD | WO | 04/051481 | | 06-17-2004 | | | <input type="checkbox"/> |
| | BE | WO | 04/021225 | | 03-11-2004 | | | <input type="checkbox"/> |
| | BF | WO | 04/021224 | | 03-11-2004 | | | <input type="checkbox"/> |
| | BG | WO | 04/021223 | | 03-11-2004 | | | <input type="checkbox"/> |
| | BH | WO | 04/021123 | | 03-11-2004 | | | <input type="checkbox"/> |
| | BI | WO | 03/052620 | | 06-26-2003 | | | <input type="checkbox"/> |
| | BJ | WO | 03/025795 | | 03-27-2003 | | | <input type="checkbox"/> |
| | BK | WO | 03/021441 | | 03-13-2003 | | | <input type="checkbox"/> |
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| | | | Filing Date | August 27, 2003 | |
| | | | First Named Inventor | Leung, Albert | |
| | | | Art Unit | 2186 | |
| | | | Examiner Name | Padmanabhan, Mano | |
| Sheet | 3 | of | 3 | Attorney Docket Number | 021154-000810US |

| NON PATENT LITERATURE DOCUMENTS | | | |
|---------------------------------|----------|---|----------------|
| Examiner Initials * | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| | BI | Microsoft Corporation, Microsoft Windows 2000 Server white paper, Enterprise Class Storage in Windows 2000, 1999, pgs. 11, 19, 20. | |
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| | BN | SIYAN, K.S., "Windows 2000 Server Professional Reference, July 10, 2000, ISBN 0-7357-0952-1," Implementing File System Security Using File Permissions, chapter 9. | |
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